

06/22/01  
Jc961 U.S. PTO

06-25-01

4

UTILITY PATENT APPLICATION TRANSMITTAL

(New Nonprovisional Applications Under 37 CFR § 1.53(b))

Attorney Docket No.  
50269-0517

TO THE COMMISSIONER FOR PATENTS:

Transmitted herewith is the patent application of ( ) application identifier or (X) first named inventor, SRIRAM RAO, entitled EFFICIENT DATA TRANSMISSION BASED ON A POLICY, for a(n):

(X) Original Patent Application.

( ) Continuing Application (prior application not abandoned):

( ) Continuation ( ) Divisional ( ) Continuation-in-part (CIP)  
of prior application No: \_\_\_\_\_ Filed on: \_\_\_\_\_

( ) A statement claiming priority under 35 USC § 120 has been added to the specification.

Enclosed are:

(X) Specification 26 Total Pages; (7) Drawing(s); 7 Total Sheets; (X) Cover Sheet 1 Page

(X) Oath or Declaration: 2 Pages

(X) A Newly Executed Combined Declaration and Power of Attorney:

(X) Signed. ( ) Unsigned. ( ) Partially Signed.

( ) A Copy from a Prior Application for Continuation/Divisional (37 CFR § 1.63(d)).

( ) Incorporation by Reference. The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied, is considered as being part of the disclosure of the accompanying application and is hereby incorporated herein by reference.

( ) Signed Statement Deleting Inventor(s) Named in the Prior Application. (37 CFR § 163(d)(2)).

( ) Power of Attorney.

(X) Return Receipt Postcard.

( ) Associate Power of Attorney.

(X) A Check in the amount of \$1,170.00 for the Filing Fee.

( ) Preliminary Amendment.

( ) Information Disclosure Statement and Form PTO-1449.

(X) Request and Certification Under 35 U.S.C. 122(b)(2)(B)(i)

( ) A Duplicate Copy of this Form for Processing Fee Against Deposit Account.

( ) A Certified Copy of Priority Documents (if foreign priority is claimed).

( ) Applicant(s) is entitled to small entity status. See 37 CFR 1.27.

( ) Statement(s) of Status as a Small Entity Filed in Prior Application, Status Still Proper and Desired.

(X) Recordation of Assignment Cover Sheet and **executed** Assignment.

( ) Other: \_\_\_\_\_

J1000 U.S. PTO  
09/887810  
06/22/01

| CLAIMS AS FILED                           |           |           |         |            |
|---|-----------|-----------|---------|------------|
| FOR                                       | NO. FILED | NO. EXTRA | RATE    | FEE        |
| Total Claims                              | 30        | 10        | \$18.00 | \$ 180.00  |
| Independent Claims                        | 6         | 3         | \$80.00 | \$ 240.00  |
| Multiple Dependent Claims (if applicable) |           |           |         | \$0.00     |
| Assignment Recording Fee                  |           |           |         | \$40.00    |
| Basic Filing Fee                          |           |           |         | \$710.00   |
| Total Filing Fee                          |           |           |         | \$1,170.00 |

Charge \$ \_\_\_\_\_ to Deposit Account 50-1302 pursuant to 37 CFR § 1.25. Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Respectfully submitted,

By: \_\_\_\_\_

Brian D. Hickman,  
Attorney of Record, Reg. No. 35,894

Date: June 22 2001

Correspondence Address:

Hickman Palermo Truong & Becker, LLP  
1600 Willow Street  
San Jose, California 95125-5106  
Telephone: (408) 414-1080  
Facsimile: (408) 414-1076

I hereby certify that this is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR § 1.10 on the date indicated below and is addressed to:

Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

By: \_\_\_\_\_

Tirena Say

Typed Name: Tirena Say

Express Mail Label No.: EL652871931US

Date of Deposit: June 22, 2001

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision,  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 AND 1.28

TOTAL AMOUNT OF PAYMENT (\$1,170.00)

**Complete if Known**

|                      |                            |
|----------------------|----------------------------|
| Application Number   | Not available yet          |
| Filing Date          | June 22, 2001              |
| First Named Inventor | Sriram Rao                 |
| Examiner Name        | Not yet available          |
| Group/Art Unit       | Not yet available          |
| Attorney Docket No.  | 50269-0517 (P-00043-PAT-N) |

**METHOD OF PAYMENT (check one)**

1. ☒ Throughout the pendency of this application, please charge any additional fees, including any required extension of time fees, and credit all overpayments to deposit account 50-1302. A duplicate of this sheet is enclosed.

Deposit Account Number

50-1302

Deposit Account Name

Hickman Palermo Truong &amp; Becker, LLP

2. ☒ Payment Enclosed:  
☒ Check ☐ Money Order ☐ Other

3. ☐ Applicant(s) is entitled to small entity status.  
See 37 CFR 1.27

**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description        | Fee Paid |
|-----------------------|-----------------------|-----------------------|-----------------------|------------------------|----------|
| 101                   | 710                   | 201                   | 355                   | Utility filing fee     | 710.00   |
| 106                   | 320                   | 206                   | 160                   | Design filing fee      |          |
| 107                   | 490                   | 207                   | 245                   | Plant filing fee       |          |
| 108                   | 710                   | 208                   | 355                   | Reissue filing fee     |          |
| 114                   | 150                   | 214                   | 75                    | Provisional filing fee |          |

SUBTOTAL (1) (\$710.00)

**2. EXTRA CLAIM FEES**

| Total Claims       | Extra Claims | Fee from Below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 30                 | -20**= 10    | 18.00          | 180.00   |
| 6                  | -3**= 3      | 80.00          | 240.00   |
| Multiple Dependent |              |                |          |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description   |
|-----------------------|-----------------------|-----------------------|-----------------------|---|
| 103                   | 18                    | 203                   | 9                     | Claims in excess of 20                                    |
| 102                   | 80                    | 202                   | 40                    | Independent claims in excess of 3                         |
| 104                   | 270                   | 204                   | 135                   | Multiple dependent claim, if not paid                     |
| 109                   | 80                    | 209                   | 40                    | **Reissue independent claims over original patent         |
| 110                   | 18                    | 210                   | 9                     | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$420.00)

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

| Large Entity Fee Code             | Large Entity Fee (\$) | Small Entity Fee Code | Small Entity Fee (\$) | Fee Description  | Fee Paid |
|-----------------------------------|-----------------------|-----------------------|-----------------------|--|----------|
| 105                               | 130                   | 205                   | 65                    | Surcharge - late filing fee or oath  |          |
| 127                               | 50                    | 227                   | 25                    | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139                               | 130                   | 139                   | 130                   | Non-English specification  |          |
| 112                               | 920*                  | 112                   | 920*                  | Requesting publication of SIR prior to Examiner action                     |          |
| 113                               | 1,840*                | 113                   | 1,840*                | Requesting publication of SIR after Examiner action                        |          |
| 115                               | 110                   | 215                   | 55                    | Extension for reply within first month                                     |          |
| 116                               | 390                   | 216                   | 195                   | Extension for reply within second month                                    |          |
| 117                               | 890                   | 217                   | 445                   | Extension for reply within third month                                     |          |
| 118                               | 1,390                 | 218                   | 695                   | Extension for reply within fourth month                                    |          |
| 128                               | 1,890                 | 228                   | 945                   | Extension for reply within fifth month                                     |          |
| 119                               | 310                   | 219                   | 155                   | Notice of Appeal   |          |
| 120                               | 310                   | 220                   | 155                   | Filing a brief in support of an appeal                                     |          |
| 121                               | 270                   | 221                   | 135                   | Request for oral hearing   |          |
| 138                               | 1,510                 | 138                   | 1,510                 | Petition to institute a public use proceeding                              |          |
| 140                               | 110                   | 240                   | 55                    | Petition to revive - unavoidable   |          |
| 141                               | 1,210                 | 241                   | 605                   | Petition to revive - unintentional   |          |
| 142                               | 1,210                 | 242                   | 605                   | Utility issue fee (or reissue)   |          |
| 143                               | 430                   | 243                   | 215                   | Design issue fee   |          |
| 144                               | 580                   | 244                   | 290                   | Plant issue fee  |          |
| 122                               | 130                   | 122                   | 130                   | Petitions to the Commissioner  |          |
| 123                               | 50                    | 123                   | 50                    | Petitions related to provisional applications                              |          |
| 126                               | 240                   | 126                   | 240                   | Submission of information Disclosure Stmt                                  |          |
| 581                               | 40                    | 581                   | 40                    | Recording each patent assignment per property (times number of properties) | \$40.00  |
| 146                               | 690                   | 246                   | 345                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                               | 690                   | 249                   | 345                   | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| Other fee (specify) _____         |                       |                       |                       |  |          |
| Other fee (specify) _____         |                       |                       |                       |  |          |
| *Reduced by Basic Filing Fee Paid |                       |                       |                       |  |          |
| SUBTOTAL (3) (\$40.00)            |                       |                       |                       |  |          |

**SUBMITTED BY**

Name (Print/Type) Brian D. Hickman

Registration No (Attorney/Agent) 35,894

Telephone (408) 414-1080

Signature

Date June 22, 2001

**WARNING:**

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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|  |                      |  |
|--|----------------------|--|
| <b>REQUEST AND CERTIFICATION<br/>UNDER<br/>35 U.S.C. 122(b)(2)(B)(i)</b> | First Named Inventor | Sriram Rao                                       |
|  | Title                | EFFICIENT DATA TRANSMISSION BASED ON A<br>POLICY |
|  | Atty. Docket Number  | 50269-0517                                       |

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

June 22, 2001

Date



Signature

Brian D. Hickman, Reg. No. 35,894

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**

Burden Hour Statement: This collection of information is required by 37 CFR 1.213(a). The information is used by the public to request that an application not be published under 35 U.S.C. 122(b) (and the PTO to process that request). Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This form is estimated to take 6 minutes to complete. This time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO: Commissioner for Patents, Washington, DC 20231